

01/17/02
JC698 U.S. PTO

VENABLE, BAETJER, HOWARD & CIVILETTI, LLP
Including professional corporations

1201 New York Avenue, N.W., Suite 1000
Washington, D.C. 20005-3917
(202) 962-4800, Fax (202) 962-8300
www.venable.com

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WASHINGTON, D.C.
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January 17, 2002

Attorney Docket: 32307-177799

Assistant Commissioner for Patents
Washington, D.C. 20231

Re: Eiichi HATAKEYAMA - U.S. Patent Application
METHOD FOR INVESTMENT MANAGEMENT

Sir:

J1002 U.S. PTO
10/046709
01/17/02

Please find attached hereto a patent application which includes:
Specification, Claims, Declaration and Power of Attorney form
Formal Drawings: 6 sheets (Figs. 1-6)
Certified copies of Japan Patent Applications No. 2001-045776 filed January 18,
2001 and No. 2001-157883 filed April 19, 2001. Priority is claimed under 35 USC 119.
Preliminary Amendment

Pursuant to 37 CFR 1.27(c)(1) Applicant, through his Japanese patent attorney,
hereby asserts that he is entitled to small entity status, and that small entity status is
entitled to be asserted for this application. Further, pursuant to 37 CFR 1.27(c)(3), the
small entity fee set forth in 37 CFR 1.16(a) and 1.16(b) is being paid herewith.

Fee (see formula below) Check Enclosed

Basic Fee \$370.....	\$ 370.00
Total number of claims in excess of 20 <u>3</u> times \$9	<u>27.00</u>
Number of independent claims <u>4</u> 1, 15, 19, 20	<u>42.00</u>

TOTAL FEES FOR THE ABOVE APPLICATION... \$ 439.00

In the event there is attached hereto no check, or a check for an insufficient amount,
please charge the fee to our Account No. 22-0261 and notify us accordingly.

Please address all communications to:
Venable
P.O. Box 34385
Washington, D.C. 20043-9998

Respectfully submitted,

Robert J. Frank.
Registration No. 19,112

RJF/njp